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Sub-paragraph 2A - Long-term Personnel Planning

A growing body of research has developed concepts and applications supporting a systems approach to manpower management and planning. The development of a five-year plan would provide early identification of peaks and troughs that might characterize attrition and replacement and would provide management with some basis to resist potential hiring freezes. It would also permit identification of potential problems to promotion flows. Though not mentioned in the Director's cable, another important feature of a five-year plan would be occupational projections that would indicate the emergence of deficit or surplus occupations so that manpower planning would have adequate warning to assure the proper occupational mix, a task that might require leadtime. And with such warning, early effort might be made to retrain or reassign personnel whose skills may become surplus.

Despite all the advantages of long-term planning, the President's Reorganization Project (Final Staff Report, December 1977) reports that "most agencies do not have an effective means of determining their human resource needs beyond the current year". It sees the gap, even where long-term program planning exists, between such planning and actual budgetary decisions. Immediate budgetary exigencies force the decision-process into a reactive mode and off the long-term plan. Further, "arbitrary position ceilings and average grade controls (established outside the Agency) discourage work force planning and impede implementation of work force plans".

The Navy's Five-Year Navy Civilian Manpower Plan is based upon the strength requirements projected in the Five-Year Defense Plan (FYDP). The Agency, which did loose five-year planning in the early PPB days, soon found that there was little resemblance between the projections and actual budgets, and abandoned five-year planning. When the program call reinstated five-year planning two or three years ago, the outyear data were incomplete. As a result, an effort to develop strength projections on the basis of labor coefficients calculated for program elements died aborning. (Joint OP/Comptroller project.)

As the Agency has no equivalent of the FYDP, it does not have the programmatic basis for a realistic five-year manpower plan. Because the programs drive the strength requirements, manpower planning starts with program planning. It is not fair, however, to decry the absence of long-term program planning. Long-term program planning is relevant to a service that makes heavy capital investments in long-lived military equipment. Today's decisions affect military programs for 5 to 10 years and dictate manning requirements accordingly. Intelligence, on the other hand, has programs that react rapidly to the changing international temperature and its history is one of expansions and contractions

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that could not have been predicted five years in advance. Thus, intelligence cannot afford to get locked into rigid long-term plans; such plans may be useful for perspective purposes but must be readily modified. This implies that there must be adjustment mechanisms in personnel program, and these affect the pace of hiring, separating, and promoting.

As most of the factors that influence the Agency's resource availability are out of its own control, it is realistic to assert that any long-term planning should be indicative (like the French development of "perspective" planning for the economy) rather than controlling (like the Soviet plans).

If there is an agreement on this point, much can be done to assist the manager who must make decisions on personnel matters. The task force that developed State Department's concept of the Human Resources Information Systems (HRIS) distinguished three main categories of "manpower skills planning". In State's case, it is significant to note this emphasis upon the skills inventory. The three categories, as distance from the projection of requirements, are:

1. Attrition Projections
2. Adjustment Projections
3. Current Recruitment Projections

The first and third categories are not surprising. The second is significant because it covers all the changes in status of the work force already on board, namely changes in skills, position, type of employment, or grade. As State defines the task, "Manpower planning is that planning exercise which projects work force requirements and expected work force supply in order to provide recommendations and guidance to coordinated personnel management programs aiming to balance needs". It is appropriate to consider the impact of policies on promotion flow. There may be a problem however, if the promotion planning transforms promotions from an internal adjustment mechanism into something else. An employee can be given information about career prospects, but not assurances.

Within the Office of Personnel, many tools have been developed that would assist a Career Service interested in long-term perspective planning. These include models to project by age, by grade, and by sub-category; to estimate retirements; to project future grade distributions based upon specified promotion rates; and to project promotion possibilities by grade based upon data pertaining to revised strength levels, gains, and losses. Though these models can be differentiated by individual grade, we agree with the Navy's Manpower Planning which uses grade groupings (GS 5-9, 10-12, 13-15, and 16-18) on the basis that it "allows some scope for career planning without becoming excessively involved in planning for every grade in future years". A similar approach was followed in the recent OP assessment of the Operations Directorate's reduction plan.

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Sub-paragraph 2B - Short Range Planning

When perspective planning is developed, it should not be difficult to match the one-year planning in the Annual Personnel Plan against the backdrop of the longer-term planning. Promotion planning is one element of the APP. The employees could be informed of the promotion rates indicated in the APP. In addition, OP has suggested that the rates projected in the APP be compared against guideline rates to be established by the Director. If they don't meet these rates, which are in the nature of minimum targets, management action is to be taken or an adequate explanation provided. Some flexibility has to be retained, for reasons discussed in sub-paragraph 2A.

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Sub-paragraph 2C - Promotion Flow

If a serious "hump" is detected in long-term or short-term planning, corrective management action, including forced attrition, can be undertaken. This has been done in the past, and resulted in such actions as (a) the legislation facilitating early retirement through the establishment of CIARDS and (b) the Schlesinger cuts of 1973-4.

Sub-paragraph 2D - Projection of Recruiting Needs

For many years the Office of Personnel has had a systematic approach to collecting projected Agency personnel requirements and transmitting them to Recruitment Division for action. The end product of the exercise is called the Advanced Staffing Plan (ASP). The DDO participates fully in supplying information for its preparation.

The ASP is prepared at the beginning of each fiscal year and is updated quarterly. It gives the number of new clerical, technical, and professional employees by occupational categories required by each office. Changes significantly affecting the plan which occur between updatings are phoned to the Professional Staffing Branch which disseminates the information to the Recruitment Division.

Completed applications on clerical applicants are reviewed and acceptable ones are placed in process within a few days of receipt. The qualifications of technical and professional applicants are listed on the Skills Bank acquisition sheet which is published about every other day. In addition, a Selection Officer reviews the file and sends it to the office which has the most urgent needs for the particular qualifications. These procedures apply to the entire Agency, including the DDO and CT candidates for the DDO. (See 1 February 1978 paper for details of handling applicants for the CT Program.) Applicant files must be returned in two weeks to the Office of Personnel for consideration by other offices.

Sub-paragraph 2E - Addressed to Career Progression Information,
Planning for development

The Personnel Development Program (PDP) provides in Part I for executive succession planning and executive development and in Part II for career development of officers in terms of career tracks.

The Developmental Profiles, Part II of the PDP, are designed and published by the Career Service or the Career Service Sub-group, as appropriate, for each discipline or profession in the Service. They detail assignment and proposed training for the grade structure of the Profile, indicating to employees what can be expected as they progress in their career and also making them aware of the limits or expansion capacity of their particular career tracks. Dependent on the particular track, the Profile can provide progression to supergrade level.

The DDO, as outlined in their Personnel Handbook, also provides for the development of an "employee career plan" or alternatively a "career planning profile" for the individual employee based on the basic Profiles published in the Personnel Evaluation System Handbook. These are developed in conjunction with the employee's supervisor and the PEM of the home base. They are revised by the CMS and made a matter of record in the Directorate files. These plans and profiles are to be reviewed and updated periodically. The DDO employee also has the opportunity for expressing preferences for assignment and training, including changes in career direction, in the Field and Headquarters Reassignment Questionnaires.

Part I of the PDP is prepared annually by the Career Services for a three year cycle. There are three sections: list of expected executive level vacancies (GS-15 through GS-17 and SPS), identification list of executives considered fully qualified for assignment to the vacancy, and a roster of officers in grades GS-13 to 15 considered to have the potential for development for successful executive assignment. Career Services are required to include for the GS-13 to GS-15 Roster the developmental experiences planned for the individual officers, including both assignment and training courses. The Executive List and Candidate Roster (GS-13 to 15) with planned assignments and/or developmental experiences is designed to be reviewed and discussed with the DDCI or the DCI.

Sub-paragraph 2F - Identify How Supergrade/COS Assignments Match Career Plans for This Type of Officer and the Daisy Chain Impact of These Assignments.

Those portions of the PDP which identify the expected executive level vacancies and the list of officers qualified for the assignment would provide the information required by this section. Inasmuch as the planning cycle covers three years, the daisy chain impact of assignments is reflected in the review.

Sub-paragraph 2G - A System to Advise Individual How They Stand with
Regard to Their Peers

The DDO Personnel Handbook describes an extensive system of career counseling responsibilities, beginning with the supervisor, the component PEM, and the CMS. Employees are encouraged to hold career counseling session with their component PEMs in matters of assignment and training. A CMS counseling session will include discussion of the employee's ranking, in the most recent review, and of strengths and weaknesses of the employee's record as noted by the Personnel Evaluation Panel members. CMS is the only source from which an employee may determine qualitative performance in relation to the peer group. Although counseling sessions are not required except for personnel identified in the low percentile, all employees are encouraged to initiate counseling sessions, both with the component PEM and the CMS.

Sub-paragraph 2H - A System of Evaluation in Which Individuals Have Confidence in Its Overall Fairness

The DDO among all the Career Services has one of the most definitive systems for evaluation of employees. The precepts or specifics of qualifications for promotion to the next higher grade for each of the categories of personnel are published in the Personnel Evaluation System Handbook, available to all employees. (In fact, DDO requires a certification from office heads and overseas stations that all employees have read the precepts.) This Handbook is periodically revised as the Board and Panel experience makes evident that changes in any of the precepts are warranted.

It is worth noting in this regard that many of the officers who have served on the Panels or Boards have noted that the Fitness Reports subsequently written by them are far more substantive than earlier reports. As the Panel experience is extended to more and more officers this surely will result in more honest FRs in turn bringing about an evaluative system seen by all as honest and fair.

Sub-paragraph 2I - Procedures for Married Employees When One is Transferred to a New Geographic Area

While every effort is made to provide for staff employment for both members of the married couple when one is being transferred outside the Headquarters area, this is not always possible due to availability of suitable position, personnel and position ceiling controls, and at overseas posts, MODE provides further limits. In 1972 the Agency established a policy, published in [] to provide a grant of three years leave without pay for any married employee accompanying an employee spouse to an assignment outside the Headquarters area when a suitable staff position is not available. The three year span allows for the normal two year tour with travel and leave time. When the tour extends to three years, it is practice to also extend the LWOP grant to cover necessary travel and leave time.

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Sub-paragraph 4A - Perceptions of Mid-level Officers

The observations made by the Director as regards the perceptions of DDO officers regarding the DDO personnel management system are not inconsistent with the views expressed in the Attitudinal Survey conducted in 1976. A copy of the DDO portion of the survey was provided the Deputy Director of Operations and should be on file in the Office of the DDO.

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